

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : James Richard Kraemer                      Group Art Unit: 3691  
Appln. No. : 09/685,398                                      Examiner: Lalita M. Hamilton  
Filed : 10-10-2000    Confirmation No.: 7911  
For : SYSTEM AND METHOD FOR AUTOMATICALLY  
REBALANCING PORTFOLIOS BY SINGLE RESPONSE

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

The following applications are of record in PAIR as being cited in a related application's (Application Serial No. 09/685,838) Information Disclosure Statement (1449) filed on 05/05/2008 as part of a **Palm Intranet search**:

"Application 60/843049 filed on 09/08/2006"  
"Application 10/788207 filed on 02/27/2004"  
"Application 11/976886 filed on 10/29/2007"

The Applicant has searched extensively to find the above-referenced documents but was unable to locate them; these applications are not publicly available. The IDS submitted herewith omits these references.

Respectfully submitted,

Dated: 11/19/2010  
Phone: 607-429-4358  
Fax: 607-429-4119

/John Pivnichny/  
John Pivnichny  
Reg. No. 43,001